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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/732,948	12/07/2000	Michael Wray	B-4052 618408-0	2780
22879	7590	05/11/2007		
HEWLETT PACKARD COMPANY P O BOX 272400, 3404 E. HARMONY ROAD INTELLECTUAL PROPERTY ADMINISTRATION FORT COLLINS, CO 80527-2400			EXAMINER SMITHERS, MATTHEW	
			ART UNIT 2137	PAPER NUMBER
			MAIL DATE 05/11/2007	DELIVERY MODE PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

The time period for reply, if any, is set in the attached communication.

Office Action Summary	Application No.	Applicant(s)	
	09/732,948	WRAY, MICHAEL	
	Examiner	Art Unit	
	Matthew B. Smithers	2137	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 08 January 2007.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 1-11 and 14-30 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 1-9, 11, 14-17 and 19-30 is/are rejected.
- 7) ☒ Claim(s) 10 and 18 is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on _____ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
 2. ☐ Certified copies of the priority documents have been received in Application No. _____.
 3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413) |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____ |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

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DETAILED ACTION

Response to Amendment

In view of the appeal brief filed on January 8, 2007, PROSECUTION IS HEREBY REOPENED. A new rejection is set forth below.

To avoid abandonment of the application, appellant must exercise one of the following two options:

(1) file a reply under 37 CFR 1.111 (if this Office action is non-final) or a reply under 37 CFR 1.113 (if this Office action is final); or,

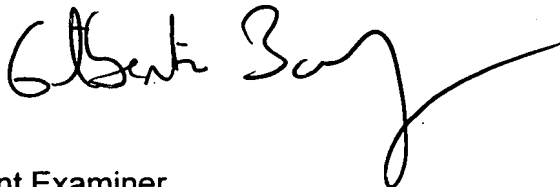
(2) initiate a new appeal by filing a notice of appeal under 37 CFR 41.31 followed by an appeal brief under 37 CFR 41.37. The previously paid notice of appeal fee and appeal brief fee can be applied to the new appeal. If, however, the appeal fees set forth in 37 CFR 41.20 have been increased since they were previously paid, then appellant must pay the difference between the increased fees and the amount previously paid.

A Supervisory Patent Examiner (SPE) has approved of reopening prosecution by signing below:

Gilberto Barron

Supervisory Patent Examiner

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A handwritten signature in black ink, appearing to read "Gilberto Barron", with a long, sweeping horizontal stroke extending to the right.

Claim Rejections - 35 USC § 102

The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

Claims 1-9, 11, 14-17, and 19-30 are rejected under 35 U.S.C. 102(e) as being anticipate by US patent 6,658,568 granted to Ginter et al.

Regarding claim 1, Ginter meets the claimed language as follows:

"A computer-readable medium storing an electronic certificate data structure, the data structure comprising:

content data specifying an attribute delegation from an identified issuer to a certificate subject, and

an electronic signature of said issuer for confirming the content data;

wherein the content data includes a condition requiring that a particular subject must have a particular attribute in order for the delegation to be valid." see column 85, line 51 to column 88, line 6 and Figures 50A and 51F-51H.

In the above quoted sections Ginter teaches a data structure (storage container) containing a certificate and conditions of use relating to the content data (see column 86, lines 15-34). Ginter further provides an example, see column 87, line 53 to column 88, line 6, where two publishers form a virtual entity that issue certificates to consumers

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allowing the consumers to perform certain functions. Clearly from these sections Ginter discloses the "data structure" of independent claim 1.

Regarding claim 2, Ginter meets the claimed language as follows:

"A computer-readable medium according to claim 1, wherein said certificate subject is generically any subject whereby said attribute is delegated to any subject capable of showing said condition to be satisfied, the particular subject of said condition being explicitly identified in the content data." see column 85, line 51 to column 88, line 6 and Figures 50A and 51F-51H.

Regarding claim 3, Ginter meets the claimed language as follows:

"A computer-readable medium according to claim 1, wherein said certificate subject is specifically identified in the content data." see column 85, line 51 to column 88, line 6 and Figures 50A and 51F-51H.

Regarding claim 4, Ginter meets the claimed language as follows:

"A computer-readable medium according to claim 3, wherein said particular subject is not separately specified but is implicitly said specifically-identified certificate subject." see column 85, line 51 to column 88, line 6 and Figures 50A and 51F-51H.

Regarding claim 5, Ginter meets the claimed language as follows:

"A computer-readable medium according to claim 3, wherein said particular subject is explicitly identified." see column 85, line 51 to column 88, line 6 and Figures 50A and 51F-51H.

Regarding claim 6, Ginter meets the claimed language as follows:

"A computer-readable medium according to claim 1, including multiple said conditions in predetermined logical relationship." see column 85, line 51 to column 88, line 6 and Figures 50A and 51F-51H.

Regarding claim 7, Ginter meets the claimed language as follows:

"A computer-readable medium according to claim 6, wherein said logical relationship is not explicitly but is explicitly stated." see column 85, line 51 to column 88, line 6 and Figures 50A and 51F-51H.

Regarding claim 8, Ginter meets the claimed language as follows:

"A computer-readable medium according to claim 6, wherein said logical relationship is not explicitly but is implicitly an AND relationship." see column 85, line 51 to column 88, line 6 and Figures 50A and 51F-51H.

Regarding claim 9, Ginter meets the claimed language as follows:

"A computer-readable medium according to claim 1, wherein said content data further includes certificate validity data concerning at least one of:

- a date range identifying the period over which the certificate is valid:

- the location of a certificate revocation list that should be checked before the certificate is used;

- the location where a one-time use permission can be obtained or the certificate re-validated;

said content data being structured into fields with the validity data and said condition or conditions being held in the same field." see column 85, line 51 to column 88, line 6 and Figures 50A and 51F-51H.

Regarding claim 11, Ginter meets the claimed language as follows:

"Apparatus for generating an electronic certificate data structure, the apparatus comprising:

a data handling arrangement for assembling content data specifying an attribute delegation from an identified issuer to a certificate subject, and including a condition requiring that a particular subject must have a particular attribute in order for the delegation to be valid;

and a signature arrangement for generating an electronic signature of said issuer over said content data." see column 85, line 51 to column 88, line 6 and Figures 50A and 51F-51H.

In the above quoted sections Ginter teaches a data structure (storage container) containing a certificate and conditions of use relating to the content data (see column 86, lines 15-34). Ginter further provides an example, see column 87, line 53 to column 88, line 6, where two publishers form a virtual entity that issue certificates to consumers allowing the consumers to perform certain functions.

Regarding claim 14, Ginter meets the claimed language as follows:

"Apparatus according to claim 11, wherein the data handling arrangement is arranged to cause said certificate subject to be specifically identified in the content data." see column 85, line 51 to column 88, line 6 and Figures 50A and 51F-51H.

Regarding claim 15, Ginter meets the claimed language as follows:

"Apparatus according to claim 14, wherein the data handling arrangement is arranged to cause said particular subject to be implicitly specified in said content data as said

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specifically-identified certificate subject.” see column 85, line 51 to column 88, line 6 and Figures 50A and 51F-51H.

Regarding claim 16, Ginter meets the claimed language as follows:

“Apparatus according to claim 14, wherein the data handling arrangement is arranged to cause said particular subject to be explicitly identified in the content data.” see column 85, line 51 to column 88, line 6 and Figures 50A and 51F-51H.

Regarding claim 17, Ginter meets the claimed language as follows:

“Apparatus according to claim 11, wherein the data handling arrangement is adapted to permit multiple said conditions to be included in the content data in predetermined logical relationship.” see column 85, line 51 to column 88, line 6 and Figures 50A and 51F-51H.

Regarding claim 19, Ginter meets the claimed language as follows:

“A reduction engine for verifying the existence of a trust chain of justified attribute delegations that overall imparts a required attribute from a trusted issuer to a target subject, said reduction engine comprising:

a trust-chain verifier for combining justified attribute delegations to form said trust chain, at least one said attribute delegation being justified on the basis of a certificate data structure that comprises content data bestowing a specified attribute from an identified issuer to a certificate subject, and an electronic signature of said issuer over the content data; and

a trust-chain branch control arranged to require the trust-chain verifier to establish a branch of said trust chain upon the trust-chain verifier using in the trust chain a said

attribute delegation that is justified on the basis of a conditional said certificate data structure that includes in its content data a condition requiring that a particular subject must have a particular attribute in order for the delegation justified by the certificate to be valid, said branch being required to impart said particular attribute to said particular subject from said trusted issuer or another trusted issuer." see column 84, line 64 to column 85, line 18 and Figures 51E-51H.

Ginter's secure container imparts an attribute to a target subject (consumer) as the certificate is verified within the trust chain.

Regarding claim 20, Ginter meets the claimed language as follows:

"A reduction engine according to claim 19, adapted to handle a said conditional certificate data structure in which said certificate subject is specifically identified in the content data." see column 84, line 64 to column 85, line 18 and Figures 51E-51H.

Regarding claim 21, Ginter meets the claimed language as follows:

"A reduction engine according to claim 20, adapted to handle a said conditional certificate data structure in which said particular subject is not separately specified but is implicitly said specifically-identified certificate subject." see column 84, line 64 to column 85, line 18 and Figures 51E-51H.

Regarding claim 22, Ginter meets the claimed language as follows:

"A reduction engine according to claim 20, adapted to handle a said conditional certificate data structure in which said particular subject is explicitly identified." see column 84, line 64 to column 85, line 18 and Figures 51E-51H.

Regarding claim 23, Ginter meets the claimed language as follows:

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"A reduction engine according to claim 19, adapted to handle a said conditional certificate data structure including multiple said conditions in predetermined logical relationship." see column 84, line 64 to column 85, line 18 and Figures 51E-51H.

Regarding claim 24, Ginter meets the claimed language as follows:

"A reduction engine according to claim 19, adapted to handle a said conditional certificate data structure that has substantially the same form as an SPKI certificate with said condition being held in a validity field of the certificate." see column 84, line 64 to column 85, line 18 and Figures 51E-51H.

Regarding claim 25, Ginter meets the claimed language as follows:

"A trust chain discovery engine for finding a trust chain of justified attribute delegations that overall imparts a required attribute from a trusted issuer to a target subject, said discovery engine comprising:

a trust-chain builder for seeking to build up said trust chain using justified attribute delegations at least one of which is justified on the basis of a certificate data structure that comprises content data bestowing a specified attribute from an identified issuer to a certificate subject, and an electronic signature of said issuer over the content data; and a trust-chain branch control arranged to require the trust-chain builder to seek to build a branch of said trust chain upon the trust-chain builder using in the trust chain a said attribute delegation that is justified on the basis of a conditional said certificate data structure that includes in its content data a condition requiring that a particular subject must have a particular attribute in order for the delegation justified by the certificate to be valid, said branch being required to impart said particular attribute to said particular

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subject from said trusted issuer or another trusted issuer.” see column 84, line 64 to column 85, line 18 and Figures 51E-51H.

Ginter’s secure container imparts an attribute to a target subject (consumer) as the certificate is verified within the trust chain.

Regarding claim 26, Ginter meets the claimed language as follows:

“A trust chain discovery engine according to claim 25, adapted to handle a said conditional certificate data structure in which said certificate subject is specifically identified in the content data.” see column 84, line 64 to column 85, line 18 and Figures 51E-51H.

Regarding claim 27, Ginter meets the claimed language as follows:

“A trust chain discovery engine according to claim 26, adapted to handle a said conditional certificate data structure in which said particular subject is not separately specified but is implicitly said specifically-identified certificate subject.” see column 84, line 64 to column 85, line 18 and Figures 51E-51H.

Regarding claim 28, Ginter meets the claimed language as follows:

“A trust chain discovery engine according to claim 26, adapted to handle a said conditional certificate data structure in which said particular subject is explicitly identified.” see column 84, line 64 to column 85, line 18 and Figures 51E-51H.

Regarding claim 29, Ginter meets the claimed language as follows:

“A trust chain discovery engine according to claim 25, adapted to handle a said conditional certificate data structure including multiple said conditions in predetermined logical relationship.” see column 84, line 64 to column 85, line 18 and Figures 51E-51H.

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Regarding claim 30, Ginter meets the claimed language as follows:

"A trust chain discovery engine according to claim 25, adapted to handle a said conditional certificate data structure that has substantially the same form as an SPKI certificate with said condition being held in a validity field of the certificate." see column 84, line 64 to column 85, line 18 and Figures 51E-51H.

Allowable Subject Matter

Claims 10 and 18 are objected to as being dependent upon a rejected base claim, but would be allowable if rewritten in independent form including all of the limitations of the base claim and any intervening claims.

The following is a statement of reasons for the indication of allowable subject matter:

With respect to claims 10 and 18, the cited prior art fails to specifically teach the certificate has substantially the same form as an SPKI certificate data structure with said condition or conditions being held in a validity field of the certificate data structure.

Conclusion


Any inquiry concerning this communication or earlier communications from the examiner should be directed to Matthew B. Smithers whose telephone number is (571) 272-3876. The examiner can normally be reached on Monday-Friday (8:00-4:30) EST.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Emmanuel L. Moise can be reached on (571) 272-3865. The fax phone

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number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.


Matthew B Smithers
Primary Examiner
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